Remarks

The Office Action mailed July 7, 2006 and made final has been carefully reviewed and the following remarks have been made in consequence thereof.

Claims 1-40 are pending in this application. Claims 1-40 stand rejected.

In accordance with 37 C.F.R. 1.136(a), a one-month extension of time is submitted herewith to extend the due date of the response to the Office Action dated July 7, 2006, and made final for the above-identified patent application, from October 7, 2006, through and including November 7, 2006. In accordance with 37 C.F.R. 1.17(a)(3), authorization to charge a deposit account in the amount of $120.00 to cover this extension of time request also is submitted herewith.

The rejection of Claims 1-40 under 35 U.S.C. § 102(e) as being anticipated by Krishnan et al. (U.S. Pub. No. 2002/0184068) ("Krishnan") is respectfully traversed.

Applicant respectfully submits that Krishnan does not describe or suggest the claimed invention. As discussed below, at least one of the differences between the present invention and Krishnan is that Krishnan does not describe or suggest a method for managing, storing, and disseminating compliance assurance (CA) information that includes *displaying on a client system a compliance calendar option, an audit tracking option, and audit tool option…*(Emphasis added.)

Moreover, Krishnan does not describe or suggest transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager *the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due.* (Emphasis added.)

Krishnan describes a communications network-enabled method and apparatus for determining and providing solutions to meet compliance and risk management standards and requirements, including asking, via a communications network, a user a plurality of questions in

16

an electronic format that adapts a subsequent question based on a user inputted answer to a previous question, determining applicability of at least one of a law, a statute, a regulation, an industry standard and a policy based on the answer, determining enabling information, customized to the user's industry and assisting the user in prioritizing and allocating user resources to comply with the at least one of a law, a statute, a regulation, an industry standard and a policy that was determined to be applicable, based on the answer.

Claim 1 recites a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database and at least one client system, the method includes "receiving CA information at the server from a client system…storing CA information and a plurality of audit checklists within the centralized database…cross-referencing CA information…updating the centralized database periodically to maintain CA information…displaying on a client system a compliance calendar option, an audit tracking option, and audit tool option, wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location, wherein the audit tracking option prompts the user to input audit information for a selected location, and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database…processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system…providing CA information in response to the inquiry…notifying users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines…tracking the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance…and transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due."

Krishnan does not describe or suggest a method for managing, storing, and disseminating compliance assurance (CA) information as recited in Claim 1. More specifically, Krishnan does not describe or suggest a method for managing, storing, and disseminating compliance assurance

17

(CA) information that includes *displaying on a client system a compliance calendar option, an audit tracking option, and audit tool option,* wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location, wherein the audit tracking option prompts the user to input audit information for a selected location, and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database. (Emphasis added.)

Moreover, Krishnan does not describe or suggest transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager *the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due.* (Emphasis added.)

Rather, Krishnan describes a communications network-enabled method and apparatus for determining and providing solutions to meet compliance and risk management standards and requirements, including asking, via a communications network, a user a plurality of questions in an electronic format that adapts a subsequent question based on a user inputted answer to a previous question, determining applicability of at least one of a law, a statute, a regulation, an industry standard and a policy based on the answer, determining enabling information, customized to the user's industry and assisting the user in prioritizing and allocating user resources to comply with the at least one of a law, a statute, a regulation, an industry standard and a policy that was determined to be applicable, based on the answer.

Notably, although Krishnan describes a method and apparatus for determining and providing solutions to meet compliance and risk management standards and requirements, Krishnan does not describe or suggest a *displaying on a client system a compliance calendar option, an audit tracking option, and audit tool option.* Moreover, Krishnan does not describe or suggest transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager *the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks*

year to date, percentage of CA tasks completed year to date, and total CA tasks past due.
Accordingly, for at least these reasons, Claim 1 is patentable over Krishnan.

For at least the reasons set forth above, Applicant respectfully requests that the 35 U.S.C.
§ 102(e) rejection of Claim 1 be withdrawn.

Claims 2-10 depend from independent Claim 2 which is submitted to be in condition for
allowance. When the recitations of Claims 2-10 are considered in combination with the
recitations of Claim 1, Applicant submits that dependent Claims 2-10 are also patentable over
Krishnan.

Claim 11 recites a method for managing, storing, and disseminating compliance
assurance (CA) information using a web-based system including a server system coupled to a
centralized interactive database, at least one managerial user system, and at least one client
system, the method includes "receiving CA information at the server from a client system, said
CA information comprising site information including environmental information, health and
safety information, legal information, corporate compliance information, and contacts
information...storing CA information and a plurality of audit checklists within the centralized
database...cross-referencing CA information...updating the centralized database periodically to
maintain CA information...displaying on a client system a compliance calendar option, an audit
tracking option, and audit tool option, wherein the compliance calendar option causes to be
displayed on the client system CA tasks to be performed and corresponding CA deadlines for a
selected location, wherein the audit tracking option prompts the user to input audit information
for a selected location, and wherein the audit tool option prompts the user to select at least one
audit checklist from the plurality of audit checklists stored within the database...processing at
the server an inquiry submitted by the user including a selection of one of the options displayed
on the client system...providing CA information in response to the inquiry...notifying users
electronically of CA tasks to be performed at a selected location and corresponding CA
deadlines...tracking the CA tasks to be performed at the selected location and the corresponding
CA deadlines to ensure compliance...and providing an electronic report of the CA tasks to be
performed and the CA deadlines to the managerial user system, wherein the report displays

19

active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due for the selected location."

Claim 11, as herein amended, recites a method for managing, storing, and disseminating compliance assurance (CA) information that includes steps essentially similar to those recited in Claim 1. Thus, it is submitted that Claim 11 is patentable over Krishnan for reasons that correspond to those given with respect to Claim 1.

For at least the reasons set forth above, Claim 11 is submitted to be patentable over Krishnan.

Claims 12-15 depend from independent Claim 11 which is submitted to be in condition for allowance. When the recitations of Claims 12-15 are considered in combination with the recitations of Claim 11, Applicant submits that dependent Claims 12-15 are also patentable over Krishnan.

Claim 16 recites a method for manipulating CA information using a web-based system including a server system coupled to a centralized interactive database and at least one client system, the method includes "receiving CA information at the server comprising business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information...storing CA information and a plurality of audit checklists within the centralized database...updating the centralized database with CA information comprising adding and deleting information so as to revise existing CA information including at least one of CA task information, CA calendar information, and CA audit tracking information...displaying on a client system a compliance calendar option, an audit tracking option, and audit tool option, wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location, wherein the audit tracking option prompts the user to input audit information for a selected location, and wherein the audit

tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database...processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system...providing CA information in response to the inquiry comprising business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information, in response to an inquiry, including downloading requested information from the server system and displaying requested information on the client system, the inquiry including utilizing at least one pull-down lists, check boxes, and hypertext links...notifying users of CA tasks to be performed at the selected location and the corresponding CA deadlines comprising transmitting an electronic message to the client system from the server system notifying the user of a CA task to be performed...and transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due."

Claim 16, as herein amended, recites a method for managing, storing, and disseminating compliance assurance (CA) information that includes steps essentially similar to those recited in Claim 1. Thus, it is submitted that Claim 16 is patentable over Krishnan for reasons that correspond to those given with respect to Claim 1.

For at least the reasons set forth above, Claim 16 is submitted to be patentable over Krishnan.

Claim 17 recites a network based system for managing, storing, and disseminating CA information, the system including a client system, a centralized database for storing information, a server system configured to be coupled to the client system and the database, the server system further configured to "receive CA information from the client system...store CA information

into and a plurality of audit checklists within the centralized database...cross-reference CA information...update the centralized database periodically to maintain CA information...display on the client system a compliance calendar option, an audit tracking option, and audit tool option, wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location, wherein the audit tracking option prompts the user to input audit information for a selected location, and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database...process an inquiry submitted by the user including a selection of one of the options displayed on the client system...provide CA information in response to the inquiry...notify users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines...tracking the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance...and transmit a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due."

Claim 17, as herein amended, recites a network based system for managing, storing, and disseminating CA information that includes, among other things, a server configured to perform steps essentially similar to those recited in Claim 1. Thus, it is submitted that Claim 17 is patentable over Krishnan for reasons that correspond to those given with respect to Claim 1.

For at least the reasons set forth above, Claim 17 is submitted to be patentable over Krishnan.

Claims 18-26 depend from independent Claim 17 which is submitted to be in condition for allowance. When the recitations of Claims 18-26 are considered in combination with the recitations of Claim 17, Applicant submits that dependent Claims 18-26 are also patentable over Krishnan.

Claim 27 recites a network based system for managing, storing, and disseminating CA information, the system includes a client system, a managerial user system, a centralized

22

database for storing information, a server system configured to be coupled to the client system, the managerial user system, and the database, wherein the server system is further configured to "receive CA information from the client system, said CA information comprising site information including environmental information, health and safety information, legal information, corporate compliance information, and contact information...store CA information and a plurality of audit checklists within the centralized database...cross-reference CA information...update the centralized database periodically to maintain CA information...display on the client system a compliance calendar option, an audit tracking option, and audit tool option, wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location, wherein the audit tracking option prompts the user to input audit information for a selected location, and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database...process an inquiry submitted by the user including a selection of one of the options displayed on the client system...provide CA information in response to the inquiry...notify users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines...track the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance...and provide an electronic report of the CA tasks to be performed and the CA deadlines to the managerial user system, wherein the report displays active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due for the selected location."

Claim 27, as herein amended, recites a network based system for managing, storing, and disseminating CA information that includes, among other things, a server configured to perform steps essentially similar to those recited in Claim 1. Thus, it is submitted that Claim 27 is patentable over Krishnan for reasons that correspond to those given with respect to Claim 1.

For at least the reasons set forth above, Claim 27 is submitted to be patentable over Krishnan.

Claims 28-32 depend from independent Claim 27 which is submitted to be in condition for allowance. When the recitations of Claims 28-32 are considered in combination with the

23

recitations of Claim 27, Applicant submits that dependent Claims 28-32 are also patentable over Krishnan.

Claim 33 recites a computer program embodied on a computer readable medium for managing, storing, and disseminating CA information, the program comprising a code segment that receives CA information and then "maintains a database by adding, deleting and updating CA information…displays on a client system a compliance calendar option, an audit tracking option, and audit tool option, wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location, wherein the audit tracking option prompts the user to input audit information for a selected location, and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database…processes an inquiry submitted by the user including a selection of one of the options displayed on the client system…provides CA information in response to the inquiry…notifies users of CA tasks to be performed at a selected location and corresponding CA deadlines…tracks the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance…and transmits a CA task summary report to a manager responsible for managing compliance for a plurality of locations, wherein for each location being managed by the manager the summary report displays: active CA tasks, CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due."

Claim 33, as herein amended, recites a computer program comprising a code segment that is programmed to perform steps essentially similar to those recited in Claim 1. Thus, it is submitted that Claim 33 is patentable over Krishnan for reasons that correspond to those given with respect to Claim 1.

For at least the reasons set forth above, Claim 33 is submitted to be patentable over Krishnan.

Claims 34-40 depend from independent Claim 33 which is submitted to be in condition for allowance. When the recitations of Claims 34-40 are considered in combination with the

24

recitations of Claim 33, Applicant submits that dependent Claims 34-40 are also patentable over Krishnan.

For at least the reasons set forth above, Applicant respectfully requests that the Section 102 rejection of Claims 1-40 be withdrawn.

In view of the foregoing remarks, all the Claims now active in the application are believed to be in condition for allowance. Favorable action is respectfully solicited.

Respectfully Submitted,

Daniel M. Fitzgerald
Reg. No. 38,880
ARMSTRONG TEASDALE LLP
One Metropolitan Square, Suite 2600
St. Louis, Missouri 63102-2740
(314) 621-5070